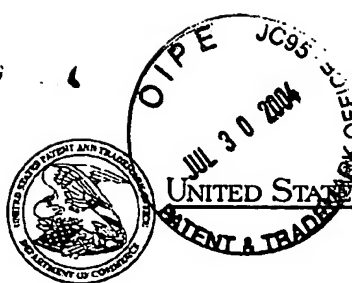


IFW



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
 Address: COMMISSIONER FOR PATENTS
 P.O. Box 1450
 Alexandria, Virginia 22313-1450
 www.uspto.gov

APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/667,646	09/22/2003	Vincent Alan Larsen	SAGE-26,477

25883
 HOWISON & ARNOTT, L.L.P.
 P.O. BOX 741715
 DALLAS, TX 75374-1715

CONFIRMATION NO. 1120

FORMALITIES LETTER



OC000000012810870

DKT

Date Mailed: 05/28/2004

NOTICE OF INCOMPLETE REPLY (NONPROVISIONAL)

Filing Date Granted

The U.S. Patent and Trademark Office has received your reply on 01/26/2004 to the Notice to File Missing Parts (Notice) mailed 05/28/2004 and it has been entered into the nonprovisional application. The reply, however, does not include the following items required in the Notice.

The period of reply remains as set forth in the Notice. You may, however, obtain EXTENSIONS OF TIME under the provisions of 37 CFR 1.136 (a) accompanied by the appropriate fee (37 CFR 1.17(a)).

A complete reply must be timely filed to prevent ABANDONMENT of the above-identified application. Replies should be mailed to: Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria VA 22313-1450.

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- Late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 was not received.

SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is **\$65** for a Small Entity

- **\$65** Late oath or declaration Surcharge.

Replies should be mailed to: Mail Stop Missing Parts
 Commissioner for Patents
 P.O. Box 1450
 Alexandria VA 22313-1450

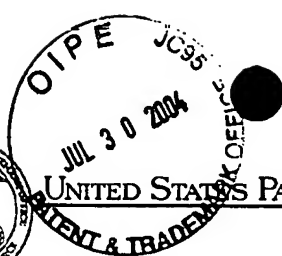
*A copy of this notice **MUST** be returned with the reply.*

Meaza W

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
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APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/667,646	09/22/2003	Vincent Alan Larsen	SAGE-26,477

25883
HOWISON & ARNOTT, L.L.P.
P.O. BOX 741715
DALLAS, TX 75374-1715

CONFIRMATION NO. 1120

FORMALITIES LETTER



OC000000012810865

DKT

Date Mailed: 05/28/2004

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Replacement drawings in compliance with 37 CFR 1.84 and 37 CFR 1.121 are required. The drawings submitted are not acceptable because:
 - The drawings must be made on paper that has a white background (see 37 CFR 1.84 (e)). For example, drawings on graph paper, lined paper, or paper that has a non-white background are not acceptable. See Figure(s) 12-18.

SUMMARY OF FEES DUE:

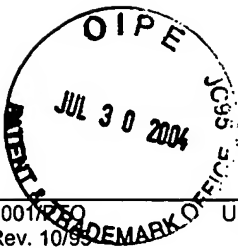
Total additional fee(s) required for this application is **\$65** for a Small Entity

- **\$65** Late oath or declaration Surcharge.

Replies should be mailed to: Mail Stop Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

A copy of this notice MUST be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202
PART 2 - COPY TO BE RETURNED WITH RESPONSE



TRANSMITTAL FORM <i>(to be used for all correspondence during pendency of filed application)</i>		Application Number	10/667,646
		Filing Date	September 22, 2003
		First Named Inventor	Vincent Alan Larsen
		Group Art Unit Number	Not yet known
		Examiner Name	Not yet known
Total Number of Pages in This Submission	10	Attorney Docket Number	24089-09275

ENCLOSURES <i>(check all that apply)</i>	
<input type="checkbox"/> Fee Transmittal Form (in duplicate) <input type="checkbox"/> Check Enclosed \$	<input type="checkbox"/> Issue Fee Transmittal
<input checked="" type="checkbox"/> Return Receipt Postcard	<input type="checkbox"/> Letter to Chief Draftsperson
<input checked="" type="checkbox"/> Response to Notice of Incomplete Reply (Nonprovisional) and Response to Notice to File Missing Parts of Nonprovisional Application	<input type="checkbox"/> Formal Drawing(s): [] Sheet(s) of Figure(s) []
<input type="checkbox"/> Assignment & Recordation Cover Sheet	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Declaration	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> Power of Attorney	<input type="checkbox"/> Certified Copy of Priority Document(s)
<input type="checkbox"/> Application Data Sheet	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Information Disclosure Statement & PTO/SB/08A <input type="checkbox"/> Copies of IDS Cited References	<input checked="" type="checkbox"/> Notice to File Missing Parts of Nonprovisional Application
<input type="checkbox"/> Request for Corrected Filing Receipt	<input checked="" type="checkbox"/> Notice of Incomplete Reply (Nonprovisional)
<input type="checkbox"/> Request for Correction of Recorded Assignment	<input checked="" type="checkbox"/> A copy of the executed Declaration and Power of Attorney
<input type="checkbox"/> Amendment/Response: [] Page(s)	<input checked="" type="checkbox"/> A copy of a postcard submitted for filing of this application on 9/22/2003
<input type="checkbox"/> After Final	<input type="checkbox"/>
<input type="checkbox"/> Status Request	<input type="checkbox"/>
<input type="checkbox"/> Revocation and Substitute Power of Attorney	<input type="checkbox"/>
REMARKS:	

SIGNATURE OF ATTORNEY OR AGENT			
Signature:			
Attorney/Reg. No.:	Brian M. Hoffman, Reg. No. 39,713	Dated:	7/27/04

CERTIFICATE OF MAILING			
I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.			
Signature:			
Typed or Printed Name:	Brian M. Hoffman	Dated:	7/27/04
Express Mail Mailing Number (optional):			



PATENT

IN THE UNITED STATES

PATENT AND TRADEMARK OFFICE

APPLICANT: Vincent Alan Larsen
APPLICATION NO.: 10/667,646
FILING DATE: September 22, 2003
TITLE: System and Method for Process-Based Security in a Network Device
EXAMINER: Not yet known
GROUP ART UNIT: Not yet known
ATTY. DKT. NO.: 24089-09275

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop Missing Parts, Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below:

Dated:

7/27/04

By:

Brian M. Hoffman, Reg. No.: 39,713

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COMMISSIONER FOR PATENTS
P.O. BOX 1450
ALEXANDRIA, VA 22313-1450

RESPONSE TO NOTICE OF INCOMPLETE REPLY (NONPROVISIONAL) AND
RESPONSE TO NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL
APPLICATION

SIR:

Responsive to the Notice of Missing Parts and the Notice of Incomplete Reply
(Nonprovisional) dated May 28, 2004 received in the above-identified patent application,

☒ Enclosed are:

- ☒ a copy of the Notice of Missing Parts;
- ☒ a copy of the Notice of Incomplete Reply (Nonprovisional);
- ☒ a copy of an executed Declaration and Power of Attorney submitted with the filing of the application on September 22, 2003



Filed in the USPTO on:

Atty: DCC

Check #: 15549 \$415.00

SN/Pat.No.: To Be Assigned

Title: SYSTEM AND METHOD FOR
PROCESS-BASED SECURITY IN A
NETWORK DEVICE

Inventor(s): Vincent Alan Larkin

Mld: 9/23/03 Due:

File: SAGE-26,477

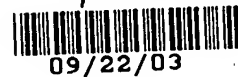
Exp. Mail Cert. No.:

Papers: Utility Patent Application Transmittal (1); Fee Transmittal (1);
Specification (50); Drawings (14); Declaration and Power of Attorney (2);
Assignment Recordation and Assignment (3)

DKT
RECD OCT 07 2003

22154 U.S. PTO

10/667646



09/22/03

EL 767933224US

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